

PTO/SB/01 (06-03)

Approved for use through 07/31/2003. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☐ Declaration Submitted with Initial Filing **OR** ☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number	LA-7458-101US
First Named Inventor	Matthew Lockley
COMPLETE IF KNOWN	
Application Number	
Filing Date	
Art Unit	N/A
Examiner Name	Not Yet Assigned

**I hereby declare that:**

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

ORDER DELIVERY MECHANISM FOR USE WITH A TRADING SYSTEM

(Title of the Invention)

the specification of which

☐ is attached hereto

**OR**

☒ was filed on (MM/DD/YYYY) [ ] as United States Application Number or PCT International

Application Number [ ] and was amended on (MM/DD/YYYY) [ ] (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365 (a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.



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**DECLARATION — Utility or Design Patent Application**Direct all correspondence to: ☒ Customer Number 000167 OR ☐ Correspondence address below

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Address

City

State

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Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**NAME OF SOLE OR FIRST INVENTOR:**☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle (if any))

Matthew

Family Name  
or Surname

Lockley

Inventor's  
Signature

Date

Residence: City

Kent

State

Country

United Kingdom

Citizenship

United Kingdom

Mailing  
Address:9 The Boulevard  
Greenhithe

City

Kent

State

ZIP

DA9 9GS

Country

United Kingdom

**NAME OF SECOND INVENTOR:**☐ A petition has been filed for this unsigned inventorGiven Name  
(first and middle (if any))

Leonid

Family Name  
or Surname

Shleymovich

Inventor's  
Signature

Date

Residence: City

Buffalo Grove

State

IL

Country

United States of America

Citizenship

US

Mailing  
Address:

2411 Palazzo Drive

City

Buffalo Grove

State

IL

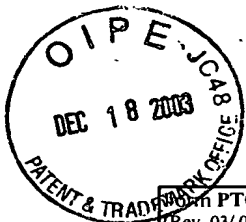
ZIP

60089

Country

United States of America

☐ Additional inventors or a legal representative are being named on the \_\_\_\_\_ supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.



PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof

## 1. Name of conveying party(ies):

Matthew LOCKLEY and Leonid SHLEYMOVICH

Additional name(s) of conveying party(ies) attached?

☐ Yes☒ No

## 2. Name and address of receiving party(ies)

Name: PATSYSTEMS (UK) LIMITED

Internal Address:

Street Address:

22 Shand Street

## 3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

City: London

Country: United Kingdom

Zip: SE1 2ES

Execution Date: 10/31/2003; 10/15/2003

Additional name(s) &amp; address(es) attached:

☐ Yes☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the new application is:

A. Patent Application No.(s):

10/643,656

B. Patent No.(s):

Additional numbers attached?

☐ Yes☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Robert Berliner

FULBRIGHT &amp; JAWORSKI L.L.P.

Internal Address: Atty. Dkt.: LA-7458-101.US

Street Address:

865 South Figueroa

Twenty-Ninth Floor

City:

Los Angeles

State:

CA

Zip:

90017-2571

## 6. Total number of applications and patents involved:

1

## 7. Total fee (37 CFR 3.41)

\$ 40.00

☐ Enclosed☒ Authorized to be charged to deposit account☐ Authorized to be charged to credit card  
(Form 2038 enclosed)

## 8. Deposit account number:

50-0337

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## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*

Robert Berliner

Name of Person Signing

Signature

December 15, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 3

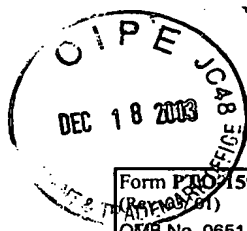
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I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: MS Assignment Recordation Services, Director of the US Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: December 15, 2003

Signature:

(Linda J. Werk)



Form PTO-1595  
(Rev. 08-01)

OMB No. 0651-0027 (exp. 5/31/2002)

**RECORDATION FORM COVER SHEET  
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**1. Name of conveying party(ies):**

Matthew LOCKLEY and Leonid SHLEYMOVICH

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

**3. Nature of Conveyance:**

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: 10/31/2003; 10/15/2003

**2. Name and address of receiving party(ies)**

Name: PATSYSTEMS (UK) LIMITED

Internal Address:

Street Address:  
22 Shand Street

City: London

Country: United Kingdom

Zip: SE1 2ES

Additional name(s) &  
address(es) attached:

☐ Yes ☒ No

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**4. Application number(s) or patent number(s):**

If this document is being filed together with a new application, the execution date of the new application is:

A. Patent Application No.(s):

10/643,656

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

**5. Name and address of party to whom correspondence concerning document should be mailed:**

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FULBRIGHT & JAWORSKI L.L.P.

Internal Address: Atty. Dkt.: LA-7458-101.US

Street Address:  
865 South Figueroa  
Twenty-Ninth Floor

City:  
Los Angeles

State: CA Zip: 90017-2571

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Robert Berliner  
Name of Person Signing

Signature

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Dated: December 15, 2003

Signature:

(Linda J. Werk)

## Assignment

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto PATSYSTEMS (UK), LIMITED, 22 Shand Street, London, SE1 2ES, UNITED KINGDOM (hereinafter ASSIGNEE) all right, title and interest in and to his invention relating to

### ORDER DELIVERY MECHANISM FOR USE WITH A TRADING SYSTEM

as set forth in his United States Patent Application

☐ executed concurrently herewith

☐ executed on \_\_\_\_\_

☒ Serial No. filed \_\_\_\_\_ filed \_\_\_\_\_

in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof and all applications for Letters Patent which may hereafter be filed for said invention in any country or countries foreign to the United States, and all Letters Patent which may be granted for said invention in any country or countries foreign to the United States and all divisions, continuations, additions, extensions, renewals and reissues thereof and all rights of priority in any such country or countries based upon the filing of the said application for Letters Patent of the United States which are created by any law, treaty or international convention; to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to said ASSIGNEE, its successors or assigns in accordance herewith;

Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

Each of the undersigned further covenants and agrees that at any time upon request of said ASSIGNEE, its successors, legal representatives or assigns he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make all rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions, continuations, reissues, extensions, additions and renewals thereof and to any and all Letters Patent which may be granted therefor or thereon, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters Patent for said invention;

Each of the undersigned hereby grants to Robert Berliner, 20,121; M. John Carson, 25,090; Margaret A. Churchill, 39,944; John M. May, 26,200; John D. McConaghy, 26,773; David M. Morse, 50,505; Billy A. Robbins, 18,313; Conrad R. Solum, Jr., 20,467; Gregory B. Wood, 28,133; and Miles Yamanaka, 45,665 the power to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

Names and Signatures of Inventors:

sign <u>Matthew Lockley</u>	<u>31/10/2003</u>	sign <u>Leonid Shleymovich</u>	<u>15/10/03</u>
Matthew Lockley	Date	Leonid Shleymovich	Date

witness name <u>Joel Davidson</u>	<u>31-10-2003</u>	witness name <u>Joel Davidson</u>	<u>15/10/03</u>
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Names and Signatures of Witnesses:

<u>JOEL DAVIDSON</u>	<u>31-10-2003</u>	<u>JOEL DAVIDSON</u>	<u>15/10/03</u>
Name	date	Name	date

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